

10-04-02

2813# exp

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Approved for use through 09/30/2000 PTO/SB/21 (6-98)  
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/834,660
	Filing Date	April 21, 2001
	First Named Inventor	Luan C. Tran
	Group Art Unit	2813
	Examiner Name	L. Schillinger
Total Number of Pages in This Submission	Attorney Docket Number MI22-1637	

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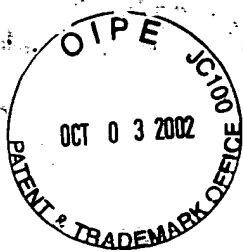
ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	PTO Return Receipt Postcard Check no. 136491 for \$180.00 Form PTO-1449 w/ thirty-two cited references
<input checked="" type="checkbox"/> Supplemental Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	Customer no. 021567
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Frederick M. Fliegel, Ph.D.; Reg. No. 36,138; Wells St. John P.S.
Signature	
Date	Sept. 30, 2002

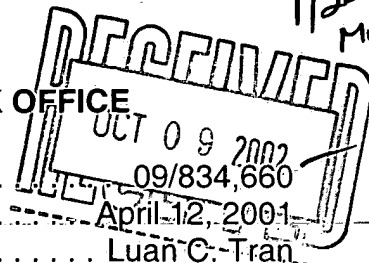
CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <input type="text"/>		
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Signature		Date

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EV077330079



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Application Serial No. ....  
Filing Date .....  
Inventor ..... Luan C. Tran  
Assignee ..... Micron Technology, Inc.  
Group Art Unit ..... 2813  
Examiner ..... Laura Schillinger  
Attorney's Docket No. .... MI22-1637  
Title: Semiconductor Processing Methods Of Forming Transistors, Semiconductor  
Processing Methods Of Forming Dynamic Random Access Memory  
Circuitry, and Related Integrated Circuitry

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

References -See Attached Form PTO-1449

The Examiner's attention is directed to the references which are listed on the attached Form PTO-1449, copies of which are attached. No admission is made regarding whether all the submitted references are prior art.

Citation of the referenced art is respectfully requested.

Respectfully submitted,

Dated: Sept 30, 2002

By: \_\_\_\_\_

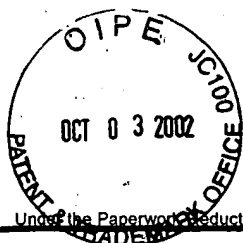
Frederick M. Fliegel, Ph.D.  
Reg. No. 36,138

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PTO/SB/17 (11-01)  
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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$180.00)

## Complete if Known

Application Number 09/834,660  
Filing Date April 12, 2001  
First Named Inventor Luan C. Tran  
Examiner Name Laura M. Schillinger  
Group Art Unit 2813  
Attorney Docket No. MI22-1637

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 23-0925  
Deposit Account Name Wells St. John P.S.

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ - 0 -)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims  -20\*\* =  X  =   
Independent Claims  -3\*\* =  X  =   
Multiple Dependent  =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ - 0 -)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	180.00
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180.00)

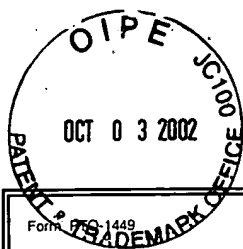
## SUBMITTED BY

Name (Print/Type) Frederick M. Fliegel, Ph.D. Registration No. (Attorney/Agent) 36,138 Telephone (509) 624-4276  
Signature Date Sept 30, 2002

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Sheet 1 of 3

Form 770-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. MI22-1637		SERIAL NO. 09/834,660	
LIST OF ART CITED BY APPLICANT (Use several sheets if necessary)				APPLICANT Luan C. Tran		FILING DATE April 12, 2001	
						GROUP 2813	
U.S. PATENT DOCUMENTS							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	AA	5,926,723	07/20/99	Wang			
	AB	6,420,749 B1	07/16/02	Divakaruni et al.			
	AC	6,177,324 B1	01/23/01	Song et al.			
	AD	6,429,081 B1	08/06/02	Doong et al.			
	AE	6,121,651	09/19/00	Furukawa et al.			
	AF	5,492,858	02/20/96	Bose et al.			
	AG	6,323,082 B1	11/27/01	Furukawa et al.			
	AH	6,156,620	12/05/00	Puchner et al.			
	AI	6,048,765	04/11/00	Wu			
	AJ	6,351,019 B1	02/26/02	DeBrosse et al.			
	AK	6,153,467	11/28/00	Wu			
FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Subclass	Translation Yes No
	AL						
	AM						
	AN						
	AO						
	AP						
OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)							
	AQ		Wolf et al., "Silicon Processing for the VLSI Era" - Volume 1 - Process Technology - Second Edition, © 2000, 6 pages.				
	AR						
	AS						
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

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Sheet 2 of 3

Form PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. M122-1637	SERIAL NO. 09/834,660
		APPLICANT Luan C. Tran	
		FILING DATE April 12, 2001	GROUP 2813

LIST OF ART CITED BY APPLICANT  
(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	AA	6,236,079 B1	05/22/01	Nitayama et al.			
	AB	6,294,422 B1	09/25/01	Sunouchi et al.			
	AC	6,133,055	10/17/00	Yeh			
	AD	6,353,242 B1	03/05/02	Watanabe et al.			
	AE	6,037,671	03/14/00	Kepler et al.			
	AF	6,028,784	02/22/00	Mori et al.			
	AG	6,025,623	02/15/00	Sunouchi et al.			
	AH	6,261,883 B1	07/17/01	Koubuchi et al.			
	AI	6,403,484 B1	06/11/02	Lim et al.			
	AJ	5,994,198	11/30/99	Hsu et al.			
	AK	6,060,394	05/09/00	Wu			

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)

	AQ		
	AR		
	AS		

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Sheet 3 of 3

Form PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. MI22-1637		SERIAL NO. 09/834,660	
LIST OF ART CITED BY APPLICANT (Use several sheets if necessary)				APPLICANT Luan C. Tran			
				FILING DATE April 12, 2001		GROUP 2813	
U.S. PATENT DOCUMENTS							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	AA	6,312,997 B1	11/06/01	Tran			
	AB	6,411,555 B1	06/25/02	Tran			
	AC	5,892,707	04/06/99	Noble			
	AD	6,171,929 B1	01/09/01	Yang et al.			
	AE	6,391,756 B1	05/21/02	Pan et al.			
	AF	6,423,620 B2	07/23/02	Pan et al.			
	AG	6,297,129 B2	10/02/01	Tran et al.			
	AH	5,447,884	09/05/95	Fahey et al.			
	AI	5,851,900	12/22/98	Chu et al.			
	AJ						
	AK						
FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Subclass	Translation
							Yes No
	AL						
	AM						
	AN						
	AO						
	AP						
OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)							
	AQ						
	AR						
	AS						
EXAMINER				DATE CONSIDERED			
<small>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</small>							

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